

FISHERIES AND OCEANS CANADA

Program: Aquatic Invasive Species

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Implementation of the CBSA Single Window Initiative (SWI)

Aquatic Invasive Species (AIS) are a major threat to Canada's environment and economy. Aquatic invasive species establish themselves in our coastal or inland waters and can spread rapidly, radically altering habitat resulting in reductions or outright extinction of indigenous fish and local fisheries. The most effective approach to dealing with species that are (or could become) established in Canada involves managing the pathways through which invasive species enter and spread through Canadian waters.

For aquatic species, these pathways are shipping, recreational and commercial boating, the use of live bait, the aquarium/water garden trade, live food fish, unauthorized introductions and transfers, and canals and water diversions. Fisheries and Oceans Canada (DFO) leads many initiatives that aim to minimize the threats that AIS pose to the Canadian ecosystem.

Non-Eviscerated Asian Carp, Quagga or Zebra mussels are goods prohibited for importation under the Aquatic Invasive Species Regulations.

These species can be imported if the purpose of importation is intended for scientific, educational, Aquatic Invasive species control end-use and if the importer is an employee or any other person acting under the direction of an educational institution, a research facility, a zoo or an aquarium, or if the importer is an employee or any other person acting under the direction of a federal or provincial department with a mandate to manage or control aquatic invasive species. The appropriate permit type (SG9/SG121) must be submitted.

Under the Single Window Initiative, release requests will be submitted utilizing a new Integrated Import Declaration (IID) that allows custom brokers to submit and obtain electronic release for goods also regulated by participating department and agencies.

Release requests for regulated Fisheries and Ocean under the Aquatic Invasive Species program may be provided to the CBSA electronically by submitting an IID and Document Image Functionality (DIF), License, Permit, Certificates and other document (LPCO). The IID must include the following information:

- a. Import License number
- b. License, Permits, Certificate and other (LPCO) information
- c. Permit number

Note: Under SWI, information requirements will remain the same. There are no additional data requirements for the import process.

Regulated goods:

The following are regulated:

- Aquatic invasive species
- Live fish
- Fish – fresh, chilled or frozen
- Molluscs (Zebra and Quagga mussels)

Excludes fish fillets and other fish meat.

Documents required:

- Aquatic Animal Health Import permit
- SFC License
- Foreign Processing Establishment
- Zoosanitary certificate

The EDI transaction notification from CBSA to the importer / broker of “Approved”, only signifies that the documentation provided to the CBSA has been accepted. The product is allowed entry into Canada to the destination identified on the import, and is subject to inspection.

Commercial importations

Importers or the person in possession, or care and control of the goods are responsible for ensuring that their goods comply with the requirements of all government departments and agencies prior to importation into Canada.

The importer must have a valid SFC license. Fish and fish products imported without a valid import license will be refused entry into Canada.

Aquatic Animals (live or dead)

Under the **Health of Animals Regulations** there are additional information requirements that must be declared upon entry, including the scientific or taxonomic names for finfish, crustaceans, and molluscs. Consequently, travelers and commercial importers must report scientific names of all imported aquatic species in the commodity description field of **Form CI1, Canada Customs Invoice** or the commercial invoice, either electronic or paper, as per the instructions in **Memorandum D1-4-1, CBSA Invoice Requirements**, and/or in accordance with the technical requirements, specifications and procedures for electronic data interchange as set out in the **Electronic Commerce Client Requirements Document (ECCRD)**. In addition to taxonomic names, travelers and commercial importers must declare the number of aquatic animals being imported, the life stage, the country in which the aquatic animal was born or where the germplasm came from, and whether the animals are from captivity or the wild.

The following websites are sources of scientific names and information on aquatic species:

- a. **Fish Base**
- b. **Mollusca Base**
- c. **World Register of Marine Species (WoRMS)**
- d. **Integrated Taxonomic Information System (ITIS)**

Harmonized System (HS) Codes

List of HS codes applicable to goods/substances that may be regulated by Aquatic Invasive Species Program:

<https://www.cbsa-asfc.gc.ca/prog/sw-gu/regcom-marreg/dfo-mpo-eng.html>

Data Element Rationales

The following data element rationales provide additional information of the specific data element requirements required under the Single Window Initiative Fisheries and Oceans Canada (DFO) programs - Aquatic Invasive Species

Permit Type	Used in conjunction with other information to determine admissibility of goods to Canada and to support regulatory preparedness and scientific assessments.
Reference Number	Used in conjunction with other information to determine admissibility of goods to Canada and to support regulatory preparedness and scientific assessments.
Common Name	Used in conjunction with other information to determine admissibility of goods to Canada and to support regulatory preparedness and scientific assessments.
Genus/Species Name	Used in conjunction with other information to determine admissibility of goods to Canada and to support regulatory preparedness and scientific assessments.
Life Stage	Used in conjunction with other information to determine admissibility of goods to Canada and to support regulatory preparedness and scientific assessments.

Sex	Used in conjunction with other information to determine admissibility of goods to Canada and to support regulatory preparedness and scientific assessments.
Intended Use	Used in conjunction with other information to determine admissibility of goods to Canada and to support regulatory preparedness and scientific assessments.
TSN	Used in conjunction with other information to determine admissibility of goods to Canada and to support regulatory preparedness and scientific assessments.
Commodity Total Value	Used in conjunction with other information to determine admissibility of goods to Canada and to support regulatory preparedness and scientific assessments.
Commodity Unit Count	Used in conjunction with other information to determine admissibility of goods to Canada and to support regulatory preparedness and scientific assessments.
DFO Country of Origin	Used in conjunction with other information to determine admissibility of goods to Canada and to support regulatory preparedness and scientific assessments.
DFO Country of Source	Used in conjunction with other information to determine admissibility of goods to Canada and to support regulatory preparedness and scientific assessments.
DFO State of Source	Used in conjunction with other information to determine admissibility of goods to Canada and to support regulatory preparedness and scientific assessments.
Manufacturer	Used in conjunction with other information to determine admissibility of goods to Canada and to support regulatory preparedness and scientific assessments.
Harvesting Party	Used in conjunction with other information to determine admissibility of goods to Canada and to support regulatory preparedness and scientific assessments.
Permit Type	Used in conjunction with other information to determine admissibility of goods to Canada and to support regulatory preparedness and scientific assessments.
Reference Number	Used in conjunction with other information to determine admissibility of goods to Canada and to support regulatory preparedness and scientific assessments.
Eviscerated	Used in conjunction with other information to determine admissibility of goods to Canada and to support regulatory preparedness and scientific assessments.
Processor	Used in conjunction with other information to determine admissibility of goods to Canada and to support regulatory preparedness and scientific assessments.

Electronic Commerce Client Requirements Document (ECCRD)

The following table provides the specific rules and conditions associated to each of the data elements for DFO Declarations. The data elements are: Mandatory (M), Conditional (C) or Optional (O).

Data element name	PGA element definition	Data element status	Data element rules and conditions
Document Type (License, Permit, Certificate, Other)	Permit type	C	<p>The applicable document type must be provided in this field, if the commodity being imported is non-eviscerated Asian Carp, Zebra or Quagga Mussels, and the scientific name of the commodity is one of the following:</p> <ul style="list-style-type: none"> • Ctenopharyngodon idella (FO11) • Hypophthalmichthys nobilis (FO12) • Hypophthalmichthys molitrix (FO13) • Mylopharyngodon piceus (FO14) • Dreissena polymorpha (FO16) • Dreissena bugensis (FO17) <p>If the scientific name is not one of the aforementioned codes, applicable permits may be provided in this field.</p> <p>Use this segment group to provide document types that are applicable to all commodities on this declaration. If not applicable to all, please provide the documents at the commodity line level (SG121).</p> <p>If the declaration includes goods prohibited for import under the Aquatic Invasive Species Regulations, and the purpose of the importation is for scientific, educational or aquatic invasive species control purposes, and the exemption for employees or any other person acting under the direction of an educational institution, a research facility, a zoo or an aquarium (Section 13, subparagraphs (1)(a)(i) to (iii) of the Regulations) applies, the coded identifier of a permit issued under one of the provisions listed in subsection 13(2) of the Regulations must be provided.</p> <p>See Appendix A for a list of permit types and associated reference numbers.</p>
Document Reference Number	Reference Number	C	<p>For each document type provided at the declaration level, an associated reference number related to that document must be provided.</p> <p>See Appendix B for document types and reference numbers.</p>
Commodity Characteristics (Model Name)	Common name	M	<p>The common name of the commodity being imported must be provided by the importer. Note: Common Name is a Non-scientific name by which the species are referred.</p>

Commodity Characteristics (Scientific Name)	Genus / species name	M	<p>The Latin scientific name (genus + species) of the commodity being imported must be provided by the importer.</p> <p>The coded identifier must be provided in field 7009, if the scientific name is one of the following:</p> <p>Asian Carp species</p> <ul style="list-style-type: none"> • Ctenopharyngodon idella • Hypophthalmichthys nobilis • Hypophthalmichthys molitrix • Mylopharyngodon piceus <p>Quagga or Zebra mussels</p> <ul style="list-style-type: none"> • Dreissena polymorpha • Dreissena bugensis <p>Otherwise, provide the Genus/Species name in item description "free text" field, 7008.</p>
Commodity Characteristics (Life Stage)	Life Stage	C	<p>The life stage must be provided in this field if the commodity being imported is non-eviscerated Asian Carp, Zebra or Quagga Mussels as prohibited under the AIS Regulations.</p> <ul style="list-style-type: none"> • Propagate • Embryo • Juvenile • Adult • Live • Dead <p>Note: Repeat this segment if there are multiple selections applicable for this commodity.</p>
Commodity Characteristics (Gender)	Sex	C	<p>The sex of the commodity must be provided in this field if the commodity being imported is non-eviscerated Asian Carp, Zebra or Quagga Mussels as prohibited under the AIS Regulations.</p> <ul style="list-style-type: none"> • Male • Female • Other • Unknown • Sterile <p>Note: Repeat this segment if there are multiple selections applicable for this commodity.</p>
Commodity Identifier	TSN	O	<p>Organisms can be identified through their Taxonomical Serial Number.</p> <p>Although not required, this information will allow a clearer identification of the product and may expedite processing in case of referrals.</p>

Intended End Use	Intended Use	C	<p>If the declaration includes goods prohibited for importation under the Aquatic Invasive Species Regulations, then one of the below codes must be provided indicating the purpose of the importation.</p> <ul style="list-style-type: none"> • Scientific • Aquatic Invasive Species Control • Educational <p>Note: Non Eviscerated Asian Carp, Quagga or Zebra mussels are goods prohibited for importation under the Aquatic Invasive Species Regulations.</p> <p>These species can be imported if the purpose of importation is at least one of the above intended use codes, and if the importer is an employee or any other person acting under the direction of an educational institution, a research facility, a zoo or an aquarium, or if the importer is an employee or any other person acting under the direction of a federal or provincial department with a mandate to manage or control aquatic invasive species. The appropriate permit type (SG9/SG121) must be submitted.</p>
Commodity Value	Commodity Total Value	M	The total value of the commodity must be provided in CAD dollars.
Commodity Count	Commodity Unit Count	M	The number of regulated items in the commodity line of the shipment enumerated by using "each" (EA).
Country of Origin	DFO Country of Origin	C	The country in which the goods have been grown, harvested, manufactured, processed, produced or slaughtered must be provided if different than the Country of Origin provided at SG104.
Country of Source	DFO Country of Source	C	The country in which the goods on this commodity line have been grown, harvested, manufactured, processed, produced or slaughtered must be provided, if different than the Country of Origin (SG 104) and/or DFO Country of Source that may have been provided at the GAGI level and any Country of Origin provided on this commodity line.
State of Source	DFO State of Source	C	<p>The state in which the goods on this commodity line have been grown, harvested, manufactured, processed, produced or slaughtered.</p> <p>This must be provided if the Country of Source qualifier is used on this commodity line and the country of source is the United States.</p>
Manufacturer	Manufacturer	C	<p>The name and address details of the supplier of the finished goods, or of the party involved in the final production of these goods, must be provided if the commodity being imported is non- eviscerated Asian Carp, Zebra or Quagga Mussels as prohibited under the AIS Regulations.</p> <p>See Appendix C for name and address details required.</p>

Harvesting Party	Harvesting Party	C	See Appendix C for name and address details required.
Document Type (License, Permit, Certificate, Other)	Permit Type	C	<p>The applicable document type must be provided in this field, if the commodity being imported is non-eviscerated Asian Carp, Zebra or Quagga Mussels, and the scientific name of the commodity is one of the following:</p> <ul style="list-style-type: none"> • Ctenopharyngodon idella (FO11) • Hypophthalmichthys nobilis (FO12) • Hypophthalmichthys molitrix (FO13) • Mylopharyngodon piceus (FO14) • Dreissena polymorpha (FO16) • Dreissena bugensis (FO17) <p>If the scientific name is not one of the aforementioned codes, applicable permits may be provided in this field.</p> <p>Use this segment group to provide document types that are specific to this commodity-line. If applicable to all commodities, please provide the documents at the declaration level (SG9).</p> <p>If the declaration includes goods prohibited for import under the Aquatic Invasive Species Regulations, and the purpose of the importation is for scientific, educational or aquatic invasive species control purposes, and the exemption for employees or any other person acting under the direction of an educational institution, a research facility, a zoo or an aquarium (Section 13, subparagraphs (1)(a)(i) to (iii) of the Regulations) applies, the coded identifier of a permit issued under one of the provisions listed in subsection 13(2) of the Regulations must be provided.</p> <p>See Appendix A for permit types and reference numbers.</p>
Document Reference Number	Reference Number	C	<p>For each document type provided at the commodity level, an associated reference number related to that document must be provided.</p> <p>See Appendix B for document types and reference numbers.</p>
Affirmation of Compliance, Coded	Acting on the Direction of	C	<p>If non-eviscerated Asian Carps or Zebra or quagga mussels are being imported, and are not prohibited under the AIS Regulations, then at least one of the following corresponding identifiers must be provided confirming that the import is by a person who is an employee or a person acting under the direction of one of the following:</p> <p>Corresponding identifier:</p> <ul style="list-style-type: none"> • Educational Institution • Research Facility • Aquarium • Zoo • Federal department with a mandate to manage or control aquatic invasive species • Provincial department with a mandate to manage or control aquatic invasive species

Process Type	Eviscerated	C	<p>If the commodity has been eviscerated; this field must be populated with a value of: 12 – Slaughter.</p> <p>Eviscerated means that the internal organs, excluding the brain and gills, have been removed.</p>
Processor	Processor	C	<p>Name and Address details of the party involved in the process of removing fish fillets, livers or roes, the details below may be provided if different than Manufacturer at SG119.</p> <p>See Appendix C for field and location details.</p>

Additional resources

Regulated Commodities:

Reference Code Tables

Legislation:

Canadian Environmental Protection Act, 1999

<http://laws-lois.justice.gc.ca/eng/acts/C-15.31/FullText.html>

Lists of Acts and Regulations:

DFO Aquatic Invasive Species Regulations (SOR/2015-121)

<http://laws-lois.justice.gc.ca/eng/regulations/SOR-2015-121/FullText.html>

Fish Inspection Regulations: <http://www.inspection.gc.ca/english/reg/rege.shtml>

Fish Inspection Act: <http://www.inspection.gc.ca/english/reg/rege.shtml>

Customs Memoranda:

CBSA Memorandum D19-8-5 Import Prohibitions and Requirements for Commercial Importers of Aquatic Species and for Travellers Under the Aquatic Invasive Species.

Regulations

<https://www.cbsa-asfc.gc.ca/publications/dm-md/d19/d19-8-5-eng.pdf>

CBSA Memorandum D19-7-1 Interpretation of the Wild Animal and Plant Protection and Regulation of International and Interprovincial Trade Act (WAPPRITA) and the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)

<https://www.cbsa-asfc.gc.ca/publications/dm-md/d19/d19-7-1-eng.html>

Appendix A: List of permit types and associated reference numbers

Permit Type	Reference Number	Notes
Federal Release/Transfer	License Number	License to Release or Transfer Fish (DFO) – pursuant to Section 52 and 56 of the Fishery (General) Regulations.
Alberta Fisheries License	Permit Number	Permit/License issued under subsection 12(1) of the Fisheries (Alberta) Act
British Columbia Freshwater Fish License	I & T License Number Eg. XXXXX (all numeric)	Permit/License issued under Section 3 of the Freshwater Fish Regulation of British Columbia
Manitoba Fish License	Permit number	Permit/License issued under subsection 3(1) of the Fish Licensing Regulation of Manitoba.
Manitoba Fisheries License	Permit Number	Permit/License issued under Section 6.1 of the Manitoba Fishery Regulations.
Newfoundland/ Labrador Wildlife License	Permit number	Permit/License issued under Section 86 of the Wildlife Regulation of Newfoundland and Labrador.
Ontario Fish License	Permit number	Permit/License issued under Sections 34.1 and 34.2 of the Fish Licensing of Ontario
Ontario Fisheries License	License Number	Permit/License issued under subsection 6(2) of the Ontario Fishery Regulations.
Quebec Fisheries License	Permis d'introduction et transfer Eg. QI&T XX- XX (year – License #)	Permit/License issued under Section 19 of the Quebec Fishery Regulations.
Saskatchewan Fish License	Permit number	Permit/License issues under subsection 88.3 of the Fisheries Regulations (Saskatchewan).
Saskatchewan Fisheries License	Permit number	Permit/License issued under subsection 9(3) of the Saskatchewan Fisheries Regulations.
Canada National Parks Fishing License	License Number	Permit/License issued under all applicable provisions in regulations made under the Canada National Parks Act.

Appendix B: Document types and reference numbers

Document Type(s)	Reference Number
Federal Release/Transfer License	License Number
Alberta Fisheries License	Permit Number
British Columbia Freshwater Fish License	I & T License Number Eg. XXXXX (all numeric)
Manitoba Fish License	Permit number
Manitoba Fisheries License	Permit number

Newfoundland/Labrador Wildlife License	Permit number
Ontario Fish License	Permit Number
Ontario Fisheries License	License Number
Quebec Fisheries License	Permis d'introduction et transfer Eg., QI&T XX-XX (year – License #)
Saskatchewan Fish License	Permit number
Saskatchewan Fisheries License	Permit number
Canada National Parks Fishing License	License number

Appendix C: Name and address details required

Field	Location	Format	Description
Name	C080.3036.4	an..70	Business/personal name
Street	C059.3042.5	an..35	Up to 3 lines
City	3164.6	an..35	
Country Subdivision (e.g., state)	C819.3229.9	an..6	State or foreign country political subdivision (e.g., "county" for UK)
Postal Id	3251.8	an..9	Postcodes / ZIP
Country	3207.9	an2	2 character ISO 3166 code

Contact Livingston

Have questions or need help with your SWI imports?

Contact your Livingston client services representative.

Write to us at: clientserviceCanada@livingstonintl.com or give us a call at **1-855-225-5544**.